



UNITED STATES DEPARTMENT OF COMMERCE  
National Oceanic and Atmospheric Administration  
Silver Spring, MD 20910  
OFFICE OF OCEANIC AND ATMOSPHERIC RESEARCH

MEMORANDUM FOR: OAR Cooperative Institute Directors

FROM: John Cortinas, OAR Cooperative Institute Program Manager

SUBJECT: Guidance for OAR Cooperative Institute Annual Reports

DATE: June 26, 2006

*John Cortinas*

This memorandum serves as general guidance for preparing an OAR Cooperative Institute (CI) annual report. As a requirement of the Cooperative Institute Cooperative Agreement, each institution must submit an annual report describing all NOAA-funded research activities during the preceding award year. This report is reviewed by the CI Program Manager and becomes part of the official grant file.

According to the Code of Federal Regulations (15 CFR 24), the minimum requirements (non-relevant items have not been copied here) for a financial assistance annual report are:

- (1) Grantees shall submit annual performance reports unless the awarding agency requires quarterly or semi-annual reports. Annual reports shall be due 90 days after the grant year. If a justified request is submitted by the grantee, the Federal agency may extend the due date for any performance report.
- (2) Performance reports will contain, for each grant, brief information on the following:
  - (i) A comparison of the actual accomplishments to the objectives established for the period.
  - (ii) The reasons for the slippage if established objectives were not met.
- (3) Grantees will not be required to submit more than the original and two copies of performance reports.
- (4) Grantees will adhere to the standards in this section in prescribing performance-reporting requirements for subgrantees.

When preparing the information in the annual report described above, please follow these guidelines:

- (1) Beginning in 2006, NOAA requires all annual reports to be submitted electronically through Grants Online. At their discretion, CIs may send a courtesy copy of the annual report to the OAR CI Program Manager.
- (2) Include a table of contents.
- (3) Annual reports should report on performance for all NOAA-funded projects, including those listed on amendment documents (form CD-451). These project titles



and a description of the annual performance associated with this project should appear in the annual report along with the name and NOAA office of the primary technical contact for the project. As described in 2(i) above, at least one objective should be clearly stated for each project along with an adequate description of the research that was conducted during the report year.

- (4) For each project, identify the related NOAA goal(s) from the NOAA Strategic Plan: (Goal 1) Protect, Restore, and Manage the Use of Coastal and Ocean Resources Through Ecosystem-based Management; (Goal 2) Understand Climate Variability and Change to Enhance Society's Ability to Plan and Respond; (Goal 3) Serve Society's Needs for Weather and Water Information; (Goal 4) Support the Nation's Commerce with Information for Safe, Efficient, and Environmentally Sound Transportation; (Goal 5) Mission Support.
- (5) Provide an introductory section that includes:
  - i. a general description of the Institute and its core activities, including all education and outreach activities,
  - ii. a description of how the CI is managed, including mission and vision statements, and the organizational structure,
  - iii. an executive summary of important research activities and results in 1-3 pages,
  - iv. a distribution of NOAA funding by Institute task and theme (e.g., pie chart with percentages),
  - v. if the CI-NOAA MOU identified a Council of Fellows and an Executive Board, provide the names of the current Fellows and a list of all meeting dates,
  - vi. a general description of Task I activities, including percentage of funding (e.g., pie chart with percentages) used for administration, post-docs/visiting scientists, student support, education and outreach activities, and other research support.
- (6) Use appendices to provide:
  - i. a total count of publications for the reporting period and previous periods categorized by NOAA lead author, Institute (or subgrantee) lead author, and other lead author and whether it was peer-reviewed and non peer-reviewed (not including presentations).

	Institute Lead Author				NOAA Lead Author				Other Lead Author			
	2001-02	2002-03	2003-04	2004-05	2001-02	2002-03	2003-04	2004-05	2001-02	2002-03	2003-04	2004-05
<b>Peer Reviewed</b>												
<b>Non Peer Reviewed</b>												

	Institute Lead Author				NOAA Lead Author				Other Lead Author			
	2005-06	2006-07	2007-08	2008-09	2005-06	2006-07	2007-08	2008-09	2005-06	2006-07	2007-08	2008-09
<b>Peer Reviewed</b>												
<b>Non Peer Reviewed</b>												

- ii. the total number of employees by job title and terminal degree that receive at least 50% support from NOAA, postdocs and visiting scientists;
- iii. total number of undergraduate and graduate students receiving any level of support;
- iv. number of employees (including postdocs and visiting scientists) that received less than 50% annual salary support;
- v. for Institutes that award subcontracts, please obtain only information on the number of supported postdocs and students from your subgrantees.
- vi. the number of employees/students that receive 100% of their funding from an OAR laboratory and/or are located within that laboratory;
- vii. the number of employees/students that were hired by NOAA within the last year.

**Example:**

Personnel				
Category	Number	B.S.	M.S.	Ph.D.
Research Scientist	5	0	2	3
Visiting Scientist	3	0	0	3
Postdoctoral Fellow	3	0	0	3
Research Support Staff	20	15	5	0
Administrative	3	3	0	0
<b>Total (<math>\geq</math> 50% support)</b>	34	18	7	9
Undergraduate Students	8			
Graduate Students	6	5	1	
Employees that receive < 50% NOAA Funding (not including students)	24	10	4	2
Located at Lab (include name of lab)	29-CMDL, 6-FSL, 4-AL			
Obtained NOAA employment within the last year	1			

- (9) A PDF version of the report should be entered into Grants Online **no later than September 30, 2006**. This version will also be made available on the OAR CI Web site.